

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2010

State: WA



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2009 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2010 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2010 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2009. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2010 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1-5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been e-mailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2010: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: Washington

Name of Chief Executive Officer or Designee: Susan Dreyfus

Signature of CEO or Designee:

Title: Secretary

Date Signed:

If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2009 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (Please describe.) _____

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (Please describe.) _____

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)**

☒ Placed on file for public review

☒ Posted on a State agency Web site (Please provide exact Web address.)

<http://www1.dshs.wa.gov/dasa/>

- ☐ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☒ Announced in a news release, a press conference, or discussed in a media interview
- ☒ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) (Please describe.) *The Division of Alcohol and Substance produces a quarterly publication called the FOCUS; the Annual Synar Report will be referenced in the FOCUS and the link for the DASA website will be available in the publication.*

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

Washington State Department of Social and Health Services: Division of Alcohol and Substance Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

Washington State Department of Health

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

Washington State Liquor Control Board

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency(ies) responsible for tobacco prevention activities.

Washington State Department of Health

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

☐ Are the same

☐ Have a formal written memorandum of agreement

☒ Have an informal partnership

☒ Conduct joint planning activities

☒ Combine resources

☐ Have other collaborative arrangement(s) (Please describe.) _____

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by State agency(ies).
- ☒ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.

NOTE: Per the Washington State Liquor Control Board, a new data system was implemented in October 2008; data below was collected within two systems.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	NA	NA	617
Number of <u>fines assessed</u>	NA	NA	404
Number of <u>permits/licenses suspended</u>	NA		11
Number of <u>permits/licenses revoked</u>	NA		0
Other (Please describe.)	NA	NA	NA

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training
- ☒ Incentives for merchants who are in compliance (e.g., reward and reminder)
- ☒ Community education regarding youth access laws
- ☒ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☐ Other activities (Please list.) _____

Briefly describe all checked activities:

Merchant Education: Liquor Control Board delivers merchant education programs to both store owners and their clerks. The education programs cover both alcohol and tobacco licensing requirements. From 07/08-6/09 Liquor Control Board trained 1165 licensee employees and licensee owners through their Responsible Liquor and Tobacco Sales classes.

Incentives: Local contractors for Department of Health provide letters of recognition, engraved placards and public press releases recognizing their efforts in decreasing tobacco sales to youth.

Community Education: Local Contractors for the Department of Health deliver multiple community education programs regarding youth access and other tobacco related issues.

Media: The Department of Health uses Master Settlement Agreement funds to support a comprehensive statewide media campaign regarding tobacco issues. The messages are primarily targeted at encouraging youth not to start smoking.

Community Mobilization: A number of activities are underway to mobilize communities around tobacco issues. Department of Health Tobacco Prevention and Control (TPC) contractors are crucial to these efforts. The Division of Alcohol and Substance Abuse County Prevention Specialists collaborate directly with the TPC's to increase community awareness and action.

- d. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? ☒ Yes ☐ No

If "Yes" to 5d, please describe the State's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

Referrals are made by Department of Health to Liquor Control Board for any completed sales, for enforcement purposes. If the sale is made in an urban area, LCB or local law enforcement will write the citation at the time of the sale. If a sale is made in a rural area the compliance check team will complete all of its checks for that particular day, once the checks are complete, they will go back to the store(s) that sold the tobacco and either LCB or law enforcement will write the citation. If the compliance check team does not have an enforcement officer with them, the retailer will be notified by the team leader that a sale was made earlier in the day to an underage youth and LCB will be issuing them a citation.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

- a. Did the State use the optional Synar Survey Estimation System (SSES) to

analyze the Synar survey data? ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1-5 (in Excel) to WebBGAS. Then go to Question 8.
If No, continue to Question 7b.

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

_____ + (1.645 × _____) = _____
RVR Estimate plus (1.645 times Standard Error) equals Right Limit

- c. Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design.)

- d. How were the (weighted) RVR estimate and its standard error obtained?
(Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

- f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

- g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision	

requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State’s Synar survey use a list frame? ☒ **Yes** ☐ **No**

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2007

b. Percent coverage from the latest frame coverage study: 100%

c. Was a new study conducted in this reporting period? ☐ **Yes** ☒ **No**

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 2010

9. Has the Synar survey inspection protocol changed from the previous year?

☐ **Yes** ☒ **No**

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 02/01/09 **To** 06/30/09
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

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c. Fill out and attach Form 5 in Appendix A (Forms 1–5). *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)*

SECTION II: FFY 2010 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2010. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

FFY 09 ASR was 15.4%; this was an alarming rate for Washington State. As the result of the elevated the Department of Social and Health Services: Division of Alcohol and Substance Abuse and the Department of Health developed a strategic plan to address the increase rate.

The initial plan of the "Synar Action Team" was to use state dollars to conduct targeted supplemental compliance checks in those areas across the state with the highest non-compliance rates.

DASA contracted with a local research analyst to provide geographical mapping in order to locate the target areas. The research and data collection identified no specific target areas where concerted efforts could be applied. It was recognized that the most populated county in the state, King County, was a significant component in the RVR, however there were no specific communities or regions within the county that could be targeted.

The Synar Action Team also implemented intensive collaborative efforts between local contractors for Department of Health and the Division of Alcohol and Substance Abuse to mobilize their respective communities via community coalitions and workgroups. This resulted in contractors from both agencies working together to provide intensive retailer education and community awareness of youth access issues.

Department of Health conducted an earned media campaign announcing the increased RVR. 42 different media venues picked up the information and published it through print, television, web addresses and blogs.

It is the anticipation of the Department of Health, Division of Alcohol and Substance Abuse, substance abuse & tobacco contractors and the collaborating communities that these efforts will continue driving down the annual RVR.

The state will continue with compliance checks by the Liquor Control Board as part of its enforcement responsibilities, youth access compliance checks by Department of Health and 35 Local Health Jurisdictions and contractors (Synar checks are part of this effort).

In addition to the above, increase the partnership between the Department of Health and the Division of Alcohol and Substance Abuse to expand efforts to affect the tobacco use and access rate of the Native American Tribes within Washington State. There are 29 Federally Recognized Native American Tribes within Washington State, both DoH and DASA contract with the tribes to provide tobacco (and other drug) prevention services to their communities. Both agencies would like to see an increase in the discussion with the tribes concerning tobacco policies, laws, compliance checks and enforcement.

Due to decreasing resources, culture, geographic and legal limitations, affecting change within the Native American population and their relationship with tobacco, change has been very slow.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors
- ☒ Geographic, demographic, and logistical considerations in conducting inspections
- ☒ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☒ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (Please list.) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for TA related to each relevant challenge.

If there was money specifically targeted for youth access enforcement, such as when the FDA was providing funding for checks, we would be able to dedicate specific officers and specific time to the effort. Without specific funding, youth access enforcement is something that gets done as apart to the overall law enforcement job and that can mean that the importance of youth access enforcement can sometimes be overlooked.

Washington State has many lightly populated areas that require extensive time and resources in order to complete checks.

Washington State's population is quite diverse and includes a number of relatively recent immigrants to the United States who come from cultures where it is highly unusual not to smoke. Many sales to minors have come from stores owned and operated by recent arrivals.

Additionally, of the 29 Federally recognized Native American tribes in Washington State, 25 of them have reservation lands upon which state laws – youth access and tobacco taxes among them – cannot be enforced. Though it is expressly forbidden for non-Indians to buy untaxed tobacco products from Indian tobacco outlets, enforcement

is very awkward and inconsistent. The same situation exists with access by youth, though we do not know the extent of the problem of sales to minors through Native American outlets.

APPENDIX A: FORMS 1–5

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

Instructions for Completing Form 1: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).

Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

[illegible]

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

FORM 2 (Optional)**Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2010
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ($p=x/n2$)
- N' - estimated number of eligible outlets in population ($N'=N*n1/n$)
- w - relative stratum weight ($w=N'/\text{Total Column 8}$)
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: Write “State” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2010				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked **“Total.”**

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked **“Total.”**

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2010	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) (<i>Describe.</i>)	
Other ineligibility reason(s) (<i>Describe.</i>)			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2010
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

SSES Table 1 (Synar Survey Estimates and Sample Sizes)**CSAP-SYNAR REPORT**

State	WA
Federal Fiscal Year (FFY)	2010
Date	8/10/2009 13:47
Data	SSESDataEntry-2009.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	9.2%
Weighted Retailer Violation Rate	8.9%
Standard Error	1.2%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 10.8%]
Two-sided 95% Confidence Interval	[6.6%, 11.2%]
Design Effect	1.0
Accuracy Rate (unweighted)	75.3%
Accuracy Rate (weighted)	75.2%
Completion Rate (unweighted)	98.1%

Sample Size for Current Year

Effective Sample Size	557
Target (Minimum) Sample Size	613
Original Sample Size	692
Eligible Sample Size	521
Final Sample Size	511
Overall Sampling Rate	10.2%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

 STATE: WA
 FFY: 2010

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	2,044	1,522	N/A	N/A	184	137	133	5	3.8%	
2	2	4,618	3,491	N/A	N/A	508	384	378	42	11.1%	
Total		6,662	5,013			692	521	511	47	8.9%	1.2%
Over the Counter Outlets											
1	1	2,044	1,522	N/A	N/A	184	137	133	5	3.8%	
2	2	4,618	3,491	N/A	N/A	508	384	378	42	11.1%	
Total		6,662	5,013			692	521	511	47	8.9%	1.2%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: WA

FFY: 2010

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	511	
Total (Eligible Completes)			511
N1	In operation but closed at time of visit	1	
N2	Unsafe to access	2	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	7	
Total (Eligible Noncompletes)			10
I1	Out of Business	19	
I2	Does not sell tobacco products	28	
I3	Inaccessible by youth	101	
I4	Private club or private residence	6	
I5	Temporary closure	5	
I6	Unlocatable	2	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	4	
I10	Other ineligibility (see below)	6	
Total (Ineligibles)			171
Grand Total			692

Give reasons and counts for other noncompletion:

Reason	Count
Located in wrong county	1
Located in Airport, must have ticket	5
Youth couldn't located tobacco and did not feel comfortable asking.	1

Give reasons and counts for other ineligibility:

Reason	Count
Currently unlicensed	1
Facility located on Tribal Reservation	5

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: WA

FFY: 2010

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	7	94	3
	16	14	120	7
	17	11	54	12
	18	0	0	0
	Subtotal	32	268	22
Female	14	1	1	0
	15	7	29	1
	16	23	69	5
	17	26	144	19
	18	0	0	0
	Subtotal	57	243	25
Other		0	0	0
Grand Total		89	511	47

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	3.2%	3.4%	3.3%
16	5.8%	7.2%	6.3%
17	22.2%	13.2%	15.7%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	8.2%	10.3%	9.2%

APPENDICES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: WA
FFY: 2010

1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)
☐ Area frame (*Go to Question 3.*)
☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4.)

Use the corresponding number to indicate Type of Source in the table below.

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Washington State Department of Licensing	3	List of tobacco retailers, cleaned of duplicates and vending machines since they are inaccessible to youth	All retailers are required to renew their tobacco license no later than June 30 of each year. The licensee list is updated on an ongoing basis throughout the year to reflect new applications for licenses that have been submitted, accepted and approved. DoH draws the sample from the list provided by Department of Licensing in November of each year.

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☐ Yes ☒ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines
- ☒ State law bans vending machines from locations accessible to youth
- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (Please describe.) _____

5. Which category below best describes the sample design? (Check only one.)

- ☐ **Census** (STOP HERE: Appendix B is complete.)

Unstratified State-wide sample:

- ☐ Simple random sample (Go to Question 9.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multi-stage cluster sample (Go to Question 8.)

Stratified sample:

- ☒ Simple random sample (Go to Question 7.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☐ Multi-stage cluster sample (Go to Question 7.)
- ☐ **Other** (Please describe and go to Question 9.) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification.

a. Provide a full description of the strata that are created.

Stratum 1 – King County
Stratum 2 – Non-King County; the state’s 38 other counties

b. Is clustering used within the stratified sample?

- ☐ **Yes** (Go to Question 8.)
- ☒ **No** (Go to Question 9.)

8. Provide the following information about clustering.

a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size is determined by:

$$S = \frac{Z^2 p(1-p)}{D^2}$$

where $D = 3\%$, $Z = 1.96$ and $P =$ estimated noncompliance rate of previous year.

The target sample size is the effective sample size multiplied by the design affect is assumed to be 1.1.

The original sample size is the target sample size adjusted for ineligibility rate(R_1) and non-completion rate(R_2). Then, the original sample size = [(target sample size) /($R_1 R_2$)] + additional oversampling.

NOTE: R_1 is a constant accounting for ineligibility (.70) and R_2 is a constant accounting for non-completion (.90). See below for oversample rationale.

Oversample rationale: Under current protocol, we guarantee our local tobacco contractors that we will oversample as necessary to obtain a total sample that is at least 9% of the King county sampling frame strata and at least 11% of the non-King county sampling frame strata - as long as this total sample is equal to or greater than the sample size calculation that accounts for ineligibility and non-completion.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: WA

FFY: 2010

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|---|--|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|---|--|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)
☒ State or local government agency(ies) other than law enforcement
☐ Private contractor(s)
☐ Other

List the agency name(s): Synar inspections are coordinated by the Washington State Department of Health (DOH) through contracts with 35 local health jurisdictions and other local agencies. Additional tobacco compliance checks are conducted by DOH, the local health jurisdictions and the Washington State Liquor Control Board.

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Local contractors recruit youth, and prepare to complete the checks within the specified period. Methods for recruitment and selection of youth and adult volunteers vary by local community. DoH frequently suggests recruitment strategies, including use of established youth organizations, upon request.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ **Yes** ☐ **No** (If Yes, please describe.)

Youth operatives must be accompanied either by a LCB agent, or carry a letter of immunity from the local health department's Health Office (authorized to grant immunity by state law).

b. Procedural ☒ **Yes** ☐ **No** (If Yes, please describe.)

Youth operatives must be accompanied either by a LCB agent, or carry a letter of immunity from the local health department's Health Officer (authorized to grant immunity by state law).

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ **Yes** ☒ **No** (If Yes, please describe.)

b. Procedural ☒ **Yes** ☐ **No** (If Yes, please describe.)

Youth and local health staff are instructed not to enter any establishment where the youth feels uncomfortable. LCB, health staff, or adult volunteers are in the immediate vicinity during any compliance check operation. The safety of the youth operative always takes priority over protocol or completion of the inspection.

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ **Yes** ☒ **No** (If Yes, please describe.)

b. Procedural ☒ **Yes** ☐ **No** (If Yes, please describe.)

Synar inspections are conducted according to a statewide protocol for inspections that is followed by local health jurisdictions. It specifies the age of inspectors and provides a framework from which training is conducted for youth inspectors.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: WA
FFY: 2010

1. Calendar year of the coverage study: 2007

2. Percent coverage found: 100%

(Provide calculation of the percent coverage.)

***Refer to attached Sample Coverage Study Report

3. Provide a description of the coverage study methods and results.

***Refer to attached Sample Coverage Study Report

WASHINGTON STATE SYNAR SAMPLING FRAME COVERAGE STUDY REPORT

Submitted By:

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11/30/07

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Goal

In April 2007, Dr. Stacey Hust submitted a proposal to the Division of Alcohol & Substance Abuse to conduct the SYNAR coverage study (see Appendix A). The proposal was accepted, and Dr. Hust was contracted to complete Washington State's SYNAR coverage study.

She requested and gained permission from the Institutional Review Board at Washington State University to conduct the study, which involved research with human subjects (See Appendix B for the IRB proposal). Dr. Hust then completed the coverage study that entailed statewide sampling of tobacco retailers as per the requirements set forth by SAMHSA and CSAP.

Personnel

Stacey J.T. Hust, Ph.D., an assistant professor in the Edward R. Murrow School of Communication at Washington State University, completed the coverage study in coordination with Heidi Dodd, who represents the Division of Alcohol and Substance Abuse. Dr. Hust studies health communication and has previously studied media effects on alcohol and tobacco use among adolescents.

Two field assistants, both doctoral students in the Murrow School of Communication, assisted Dr. Hust in completing the coverage study.

Sampling

A total of 15 census tracts in Washington State were selected for inclusion in the coverage study. Based on the geography and population density of Washington State, the state is typically divided into two general regions: King County (which includes the greater Seattle area) and non-King County. Given that the non-King County area comprises much of the geographic region, the coverage study used a stratified sampling technique with three strata: King County, Non-King County Urban, and Non-King County Rural. The following procedures were used to determine the counties that were sampled.

1. A list of all census tracts for Washington State were accessed through the Census Bureau website.
2. Census tracts on this list were divided into each of the three strata: King County, Non-King County Urban, and Non-King County Rural. Within each stratum census tracts were randomly organized into a master list (not organized by county, except for King County tracts) and the researcher randomly selected the appropriate number of census tracts. For a list of the counties comprising each stratum, please see Table 1.

The following definitions guided this process:

- a. King County – any census tract that is located in King County.
- b. Non-King County urban – any county that is not King County and has a population

greater than 25,000 people. Population figures were based on the 2006 population estimates provided by the U.S. Census Bureau (U.S. Census Bureau Web Page).

- c. Non-King County rural – any county that is not King County and has a population of fewer than 25,000 people. Population figures were based on the 2006 population estimates provided by the U.S. Census Bureau.

3. From the above strata, the following were selected for inclusion in the coverage study: 6 King County census tracts, 6 non-King County urban census tracts, and 3 non-King County rural census tracts. For a list of the census tracts included in the coverage study, see Table 2.2

Thirty-one percent (N=12) of the 39 counties of Washington State would be considered “rural” based on the above definition. However, because it was suspected that these areas would not have as many outlets or tracts as more urban regions and due to time and budgetary constraints, the canvassing was designed so that rural census tracts comprised 20% of the tracts.

4. Once a census tract was chosen for inclusion in the coverage study, Dr. Hust printed off a map of the tract. All main roads were highlighted, and the field assistants and Dr. Hust confirmed their planned route of canvassing the tract. Many of the boundaries of census tracts are main roads, and in these instances the field assistants canvassed the side of the main street that bordered the census tract.

5. Two field assistants traveled to each census tract. Census tracts were canvassed in order of geographical proximity to maximize efficiency. Each assistant entered all outlets within the tract to determine whether tobacco products were sold and whether under-age individuals (younger than 18 years old) were permitted on the premises (see Table 3).

6. During the overwhelming majority of the canvassing each field assistant canvassed particular outlets (or sides of the streets) so that work was not duplicated.³ To establish reliability of their work, however, a small subset of outlets (no more than 10) were jointly canvassed simultaneously by both field assistants. The assistants’ answers were compared and it was determined that both assistants completed the questionnaire similarly.

Results

The data was entered into a statistical software program, and the coverage study data was compared to the existing list frame for Washington State.

1. 611 retail outlets were canvassed across the 15 census tracts. Eighty-four of these

2 Originally, two census tracts from Okanogan County were selected to be canvassed. During the time assistants were in the field, however, the area had a number of forest fires and the tracts were in effected areas. Therefore, two new tracts were selected. Table 2 reflects the final tracts included for canvassing.

3 Based on perceptions of their personal safety, the field assistants sometimes chose to canvas the outlets together. This occurred on rare occasions, however.

outlets sold tobacco products. So 14% of the outlets canvassed sold tobacco products.

Each outlet that sold tobacco was compared to the list of tobacco retailers provided by DASA to confirm whether it was listed as a licensed tobacco retailer.

Out of the 84 outlets, all of them were listed on the state's list of licensed tobacco retailers.⁴

2. Of the 84 outlets, 13 outlets listed on the state's list of licensed tobacco retailers were not recorded when the field assistants canvassed the areas. The field assistants called or visited all of the 13 outlets and confirmed that the outlets did sell tobacco.

3. The coverage rate for the state was 100%.⁵

Advertising Strategies⁶

1. Of the outlets that sold tobacco, the majority (70%) were grocery stores or food outlets.

2. The majority of the outlets that sold tobacco products sold cigarettes (92%), chewing tobacco (70%), and cigars (59%). Slightly more than one-third of the outlets sold pipe tobacco (35%). Many outlets sold multiple types of tobacco.

3. Outlets that sold tobacco used a variety of techniques to market tobacco products. Thirty-nine percent of the outlets that sold tobacco advertised tobacco products in store windows and 19% advertised tobacco outside of the store. Fourteen percent of these outlets used point of sales techniques and/or advertised the product inside the store. Although many of these techniques may be more visible by underage youth, the field assistants agreed that just 5% of the window displays in the outlets that sold tobacco targeted teens.

4. Although bike racks were rarely present in front of the outlets that sold tobacco products, the stores did sell products that would be of interest to youth. The stores also often sold alcoholic beverages. Neither of these findings are surprising given that the majority of the outlets were grocery or convenience stores.

Of the outlets that sold tobacco, 84% sold soda pop, 75% sold candy, and 67% sold toys. The majority of the outlets sold beer, 84%, and wine, 56%. Hard liquor was far rarer with just 9% of the outlets selling it.

⁴ One outlet was not listed under the specific name the canvassers transcribed, but it was listed under its address and a similar title. After further investigation, it was determined that the outlet was in fact the one listed on the state's list of tobacco retailers.

⁵ If the canvassing had not found that 100% of the outlets located during canvassing were listed on the state's tobacco license list, then the coverage rate for each stratum would have been calculated as follows: (total number of matched outlets*sampling weight)/(total number of outlets found in coverage survey*sampling weight). Sampling weight will be the inverse of selection probability. This formula follows that suggested in the Guide for SYNAR Sampling Frame Coverage Study. The coverage rate for the state would have been calculated by summing the weighted coverage rates for all strata.

⁶ The following information is based on the 67 outlets that were visited in person. Additional data was not collected from the 13 outlets originally not identified in the canvassing.

Limitations and Lessons Learned

In future canvassing studies for Washington State, I would encourage the following procedures take place:

1. Hire multiple teams to canvass the areas so that field assistants remain focused and dedicated to the project.
2. Organize the state's master list of tobacco retailers by the census tract they are located in or at least include this information in the list. Given that canvassing must take place by census tracts, all of the outlets are linked to that unique number. Because the state's master list of tobacco retailers does not include the identifying census tract number, field assistants had to first locate the physical addresses of all the outlets on a county map to identify those that were *not* included in the canvassed areas. This was the only way to make the two lists comparable.
3. The research team agrees that it was worthwhile to select census tracts from the three strata (King County, non-King County urban, and non-King County rural). However, the random selection of census tracts for this coverage study resulted in three non-King County rural tracts that included just 15 outlets. Yet 10 of these sold tobacco. Given that such a high percentage of the rural outlets sold tobacco it may be worthwhile to include a few more census tracts from non-King county rural areas in future canvassing studies.

Additionally, of the six census tracts randomly chosen to represent King County, two included less than 5 retail outlets. These tracts were not typical of the larger King County area. Future canvassing studies should account for the possibility that additional tracts may need to be sampled within a stratum if the randomly selected tracks are not representative of the greater community.

Conclusion

The Washington State SYNAR sampling frame coverage study found that the state's coverage rate is 100%. The field assistants found no outlets accessible by youth that sold tobacco that were *not* listed on the state's master list of retailers licensed to sell tobacco.

Table 1: Composition of Strata based on County-level population

County	Population
Stratum 1: King County	
King County	1,826,732
Stratum 2: Non-King County Urban	
Pierce County	766,878
Snohomish County	669,887
Spokane County	446,706
Clark County	412,938
Kitsap County	240,604
Thurston County	234,670

Yakima County	233,105
Whatcom County	185,953
Benton County	159,463
Skagit County	115,700
Cowlitz County	99,905
Grant County	82,612
Island County	81,489
Lewis County	73,585
Grays Harbor County	71,587
Chelan County	71,034
Clallam County	70,400
Franklin County	66,570
Walla Walla County	57,721
Mason County	55,951
Stevens County	42,632
Okanogan County	40,040
Whitman County	39,838
Kittitas County	37,189
Douglas County	35,772
Jefferson County	29,279
Stratum 3: Non-King County Rural	
Pacific County	21,735
Asotin County	21,247
Klickitat County	20,335
Adams County	16,887
San Juan County	15,298
Pend Oreille County	12,951
Skamania County	10,833
Lincoln County	10,376
Ferry County	7,560
Columbia County	4,087
Wahkiakum County	4,026
Garfield County	2,223

Table 2: Number of Retail Outlets and Tobacco Outlets by Census Tract

County	Number of Canvassed Retail Outlets in the Census Tract	Number of Canvassed Retail Outlets that Sold Tobacco Products ^a	Percent of Canvassed Retail Outlets that Sold Tobacco Products in Each Stratum
Stratum 1: King County			
032318	11	0	
002500	4	1	
024400	1	0	
011800	40	10	
010900	82	15	
020401	46	6	

Total Outlets in Stratum 1	184	32	17%
Stratum 2: Non-King County Urban			
Snohomish County 041804	35	12	
Spokane County 001900	43	4	
Spokane County 012000	36	4	
Clark County 041108	223	6	
Clallam County 980300	38	10	
Whitman County 093051	37	6	
Total Outlets in Stratum 2	412	42	10%
Stratum 3: Non-King County Rural			
Adams County 950200	6	3	
San Juan County 960500	6	6	
Pend Oreille County 970400	3	1	
Total Outlets in Stratum 3	15	10	66%
TOTAL	611	84	14%

^a Includes 13 outlets across various census tracts that have state tobacco licenses but were not identified in the in-person canvassing. The owner of each outlet was contacted via the telephone to confirm that tobacco products were sold. All outlets confirmed that tobacco was sold there.

Table 3: Codesheet used in the field

Census Tract ID _____ **Outlet Number** _____
Outlet Name: _____
Outlet Address: _____
Name of Business Owner: _____
Telephone Number: _____ **Type of Business:** _____
Tobacco Products Sold: Yes No **If yes:** cigarettes cigars chewing tobacco pipe tobacco
Tobacco products advertised: Windows Point of Sale In-store Ads Outside signage
Accessible to Adolescents: Yes No
If no, how do you know: _____
Are there adolescents in the outlet now? _____
Does the outlet sell: Candy Soda Pop Toys Alcohol Tobacco Memorabilia
Is there a bike rack outside? Yes No **Do window displays target teens?** Y N N/A

WASHINGTON STATE SYNAR SAMPLING FRAME COVERAGE STUDY PLAN

Submitted to DASA in April 2007

Goal

Dr. Hust will complete a coverage study that entails statewide sampling of tobacco retailers as per the requirements set forth by SAMHSA and CSAP.

Personnel

Stacey J.T. Hust, Ph.D., an assistant professor in the Edward R. Murrow School of Communication (ERMSOC) at Washington State University, will complete the coverage study in coordination with Heidi Dodd, who represents the Division of Alcohol and Substance Abuse. Dr. Hust studies health communication and has previously studied media effects on alcohol and tobacco use among adolescents.

Two field assistants, both doctoral students in ERMSOC, will assist Dr. Hust in completing the coverage study.

Sampling

A total of 15 census tracts in Washington State will be selected for inclusion in the coverage study. Based on the geography and population density of Washington State, the state is typically divided into two general regions: King County (which includes the greater Seattle area) and non-King County. Given that the non-King County area comprises much of the geographic region, the proposed coverage study will use a stratified sampling technique with three strata: King County, Non-King County Urban, and Non-King County Rural. The following procedures will be used to determine the counties that will be sampled.

1. A list of all census tracts for Washington State will be accessed through the Census Bureau website.
2. Census tracts on this list will be divided into each of the three strata: King County, Non-King County Urban, and Non-King County Rural. Within each stratum census tracts will be randomly organized into a master list (not organized by county, except for King County tracts) and the researcher will randomly select the appropriate number of census tracts.

The following definitions will guide this process:

- a. King County – any census tract that is located in King County.
- b. Non-King County urban – any county that is not King County and has a population greater than 25,000 people. Population figures will be based on the 2006 population estimates provided by the U.S. Census Bureau (U.S. Census Bureau Web Page).
- c. Non-King County rural – any county that is not King County and has a population of fewer than 25,000 people. Population figures will be based on the 2006 population estimates provided by the U.S. Census Bureau.

3. From the above strata, the following will be selected for inclusion in the coverage study: 6 King County census tracts, 6 non-King County urban census tracts, and 3 non-King County rural census tracts.

Thirty-one percent (N=12) of the 39 counties of Washington State would be considered “rural” based on the above definition. However, because these areas likely do not have as many outlets or tracts as more urban regions and due to time and budgetary constraints, rural census tracts will only comprise 20% of the tracts selected for the canvas study.

4. Once a census tract is chosen for inclusion in the coverage study, either the field assistants or Dr. Stacey Hust will print off a map of the tract. All main roads will be highlighted, and the field assistants and Dr. Stacey Hust will confirm their planned route of canvassing the tract.

5. Two field assistants will travel to each census tract. Census tracts will be canvassed in order of geographical proximity to maximize efficiency. Each assistant will enter all outlets within the tract to determine whether tobacco products are sold and whether under-age individuals (younger than 18 years old) are permitted on the premises (see attached questionnaire).

6. During the overwhelming majority of the canvassing each field assistant will canvass particular outlets (or sides of the streets) so that work is not duplicated. To establish reliability of their work, however, a small subset of outlets (no more than 10) will be jointly canvassed simultaneously by both field assistants. The assistants’ answers will be compared to determine if both are completing the questionnaire similarly.

Analysis

Once data has been collected and entered into a statistical software program, the coverage study data will be compared to the existing list frame for Washington State.

1. Each outlet on the canvassing list will be confirmed as being listed on the list frame.

2. A list of all of those outlets that are not confirmed to be listed on the list frame will be scrutinized to determine if the discrepancy is due to (as listed in the Guide for Synar Sampling Frame Coverage Study):

- a. A new owner changing the name of the outlet
- b. A street is known as several names
- c. The address can be identified by either a street number or a location
- d. There are several entrances to the outlet
- e. Recording error

If necessary, the researcher will revisit the discrepancy to ensure that the outlet is correctly identified as NOT being included on the list frames.

3. Then the total number of “matched outlets,” that is outlets listed by the coverage study that ARE on the list frame, in each stratum will be calculated.

4. Then the coverage rate for each stratum will be calculated as follows: (total number of matched outlets*sampling weight)/(total number of outlets found in coverage survey*sampling weight). Sampling weight will be the inverse of selection probability. This formula follows that suggested in the Guide for Synar Sampling Frame Coverage Study.

5. The coverage rate for the state will be calculated by summing the weighted coverage rates for all strata.

 WASHINGTON STATE SYNAR SAMPLING FRAME COVERAGE STUDY BUDGET

DASA Evaluation and Quality Assurance
4-5-07 Barb Lucenko

DRAFT

SOW

Stacey Hust: Synar Tobacco Study

Amounts

\$ FY07-FY08

Source of Funds: _____

Dr. Hust will complete a coverage study that entails statewide sampling of tobacco retailers as per the requirements set forth by SAMHSA and CSAP.

The following deliverables are expected and due dates assume a contract start date of **April 15, 2007**.

Design/develop a study plan, submit plan for review by CSAP, execute plan and create a report based on the findings of the study

Deliverables	FY06 due date	FY06 payment amount
1. Methods and research design outlined, reviewed and approved by DASA and SAMHSA/CSAP. This should include detailed description of sampling method and planned analyses.	4/30/07	Total: \$670 Salary: \$500 Benefits: \$170
2. Coverage study personnel on board	5/15/07	\$0
3. Coverage study sampling completed utilizing agreed upon stratification and random sampling techniques; list of tracks submitted to DASA	6/15/07	Total: \$4,020 Salary: \$3,000 Benefits: \$1,020
4. Tracks (5 tracks) canvassed using methods and tracking forms from SAMHSU/CSAP	6/30/07	Total: \$6,169.00 Supervision: \$1,000 Supervision Benefits: 340 Field Assistants: \$1,600 (10 days at \$160 a day for 2 field assistants) Field Assistants Benefits: 176.00 Travel: \$2,803 Office Supplies: \$100 Incidentals: \$150
4. Tracks (15 tracks) canvassed using methods and tracking forms from SAMHSA/CSAP	9/30/07	Total: \$11,501.00 Supervision: \$2,000 Supervision Benefits: \$680 Field Assistants: \$2,400 (15 days at \$160 a day for two field assistants)

		Field Assistants Benefits: \$264 Travel: \$5,607 Office Supplies: \$200 Incidentals: \$350
5. Draft report submitted to DASA for review	11/30/07	Total: \$4,020 \$3,000 Benefits: 1,020
6. Final report submitted for review	12/31/07	\$0
Total Direct Costs		\$26,380
F&A (10% of Direct Costs)		\$2,638
Total		\$29,018.00

APPENDIX C

WSU INSTITUTIONAL REVIEW BOARD APPROVAL

Hust, Stacey

From: irb@wsu.edu
Sent: Friday, June 01, 2007 2:58 PM
To: sjhust@mail.wsu.edu
Subject: IRB Approved New Protocol, IRB Number #09813-001

MEMORANDUM

TO: Stacey Hust

FROM: Malathi Jandhyala (for) Kris Miller, Chair, WSU Institutional Review Board (3005)

DATE: 6/1/2007

SUBJECT: Approved Human Subjects Protocol New Protocol, IRB Number #09813-001

Your Human Subjects Review Summary Form and additional information provided for the proposal titled "Synar Sampling Frame Coverage Study", IRB File Number 09813-001 was reviewed for the protection of the subjects participating in the study. Based on the information received from you, the WSU-IRB approved your human subjects protocol on 6/1/2007. This protocol is given Exempt review category.

IRB approval indicates that the study protocol as presented in the Human Subjects Form by the investigator, is designed to adequately protect the subjects participating in the study. This approval does not relieve the investigator from the responsibility of providing continuing attention to ethical considerations involved in the utilization of human subjects participating in the study.

This approval expires on 5/30/2008. If any significant changes are made to the study protocol you must notify the IRB before implementation. Request for modification forms are available online at <http://www.irb.wsu.edu/forms.asp>.

In accordance with federal regulations, this approval letter and a copy of the approved protocol must be kept with any copies of signed consent forms by the principal investigator for THREE years after completion of the project.

Washington State University is covered under Human Subjects Assurance Number FWA00002946 which is on file with the Office for Human Research Protections.

If you have questions, please contact the Institutional Review Board at (509) 335-7183. Any revised materials can be mailed to the Office of Research Assurances (Campus Zip 3005), faxed to (509) 335-6410, or in some cases by electronic mail, to irb@mail.wsu.edu.

Review Type: New Protocol
Review Category: Exempt
Date Received: 5/25/2007
OGRD No.: N/A
Agency: N/A

11/30/2007

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11/30/2007